

PATENT Attorney Docket No. 210818 Client Reference No. 164144:01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1

In re Application of:

DIXON et al.

Application No. 10/014,747

Filed: October 26, 2001

For: METHOD FOR PROVIDING USER

AUTHENTICATION/

AUTHORIZATION AND DISTRIBUTED FIREWALL

UTILIZING SAME

Group Art Unit: 2132

Examiner: DERWICH, KRISTIN M.

CERTIFICATE OF MAILING

I hereby certify that this SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT (along with any other documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

06/01/2005 RMEBRAHT 00000019 121216 10014747

01 FC:1806

180.00 DA

In re Appln. Of: DIXON et al. Application No. 10/014,747

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

Applicants also direct the examiner's attention to the following products: McAfee GuardDog, ConSeal Private Desktop, AtGuard, DSI NukeNabber, IP-Level Flow Control, NFR Back Officer Friendly, BlackICE Defender and ConSeal PC Firewall. Representative documents from Google-based searches are attached and cited in the attached Form PTO-1449.

The Information Disclosure Statement is being filed: within any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114. after (a), (b), (c) or (d) above, but before the mailing date of a final action under \boxtimes 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of: the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below). or \boxtimes the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below). after the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below). after the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and within thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below). NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

In re Appln. Of: DIXON et al. Application No. 10/014,747

	Co	pies	of	the	Refe	rences
--	----	------	----	-----	------	--------

\boxtimes	Copies of all of the references listed on the enclosed Form 1449 are enclosed herewith.
	Copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith. Copies of other references identified on the accompanying Form 1449 are enclosed herewith.
	Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
	A copy of the foreign search report is enclosed herewith.
	The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status (check one)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

Statement under 37 CFR 1.97(e)

The undersigned hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
The undersigned hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

Statement under 37 CFR 1.704(d) The undersigned hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement. Fees **No fee** is owed by the applicant(s). The IDS Fee of \$180 under 37 CFR 1.17(p) is enclosed herewith. Method of Payment of Fees Attached is a check in the amount of \$ 図 Charge Deposit Account No. 12-1216 in the amount of \$180.00. (A duplicate copy of this communication is enclosed for that purpose.) **Authorization to Charge Additional Fees** \boxtimes If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.) **Instructions as to Overpayment** Credit Account No. 12-1216. Refund John B. Conklin, Reg. No. 30,369 LEYDIG, VOIT & MAYER, LTD. Two Prudential Plaza, Suite 4900 180 North Stetson Avenue

Date: May 26, 2005

In re Appln. Of: DIXON et al. Application No. 10/014,747

IDS (Revised 10/21/04)

Chicago, Illinois 60601-6780 (312) 616-5600 (telephone) (312) 616-5700 (facsimile)

Please type a p	olus sɨgn (+)	inside thi	s bo

Substitute for form 1449A/B/PTO

Sheet

MAY 3 1 2005

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary) \$\int\{\circ}\$

Complete if Known			
Application Number	10/014,747		
Filing Date	October 26, 2001		
First Named Inventor	DIXON		
Group Art Unit	2132		
Examiner Name	DERWICH, KRISTIN M.		
Attorney Docket Number	210818 (MS# 164144.01)		

Examiner	Doc.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book,	Tran	slation
Initials	No.	magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Yes	No*+
	AA	MCDONALD, Daniel L., et al., "A Socket-Based Key Management API (and Surrounding		
		Infrastructure), retrieved from		
		http://www.isoc.org/isoc/whatis/conferences/inet/96/proceedsings/d7/d7_2htm on 5/21/05, pp. 1-7		
	ΑB	BELLOVIN, Steven M., "Computer Security - An End State?", Communications of the ACM, Vol. 44, No. 3, (March 2001), pp. 131-132		
-	AC	BELLOVIN, Steven M., " <u>Distributed Firewall</u> ", This paper appeared in the November 1999 issue of ; <i>login:</i> , pp. 37-39		
	AD	"Whister Server Authorization in IPSec", IPSec development Team, Microsoft, May 5, 2000, pp. 1-5		
	ΑE	"NT 6.0 User Authentication", IPSec Development Team, Microsoft, May 5, 2000, pp. 1-9		
	AF	"NT 6.0 IPSecWinsock Extensions", IPSec Development Team, November 7, 2000, pp. 1-9		
	AG	ADOBA, Bernard, "The Authentication and Authorization Problem In Roaming", Network Working Group, March 26, 1997, pp. 1-12		
	АН	NARAYAN, Kaushik, <u>Diameter Strong Security Extension Using Kerberos v5</u> , <i>Network Working Group</i> , February 2001, pp. 1-11		
	ΑI	NARAYAN, Kaushik, "Radius Security Extensions Using Kerberos v5", Network Working Group, August 2000, pp. 1-16		i
	AJ	JIANG, Yuan John, "Secure Radius Server Operation Guidelines for Dial Roaming", Network Working Group, October 1997, pp. 1-10		
	AK	ABOBA, Bernard, Certificate-Based Roaming, Network Working Group, February 1999, pp. 1-6		
	AL	IP Security for Microsoft Windows 2000 Server, White Paper, pp. 1-13		

ĺ	

^{*} A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

⁺ An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).